OIP E 2004 SO

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT APPLICATION

Inventors:

Timothy Paul Bock

John William Osenbach Rory Keene Schlenker

Case

4-43-7

Serial No.

10/736,935

Filed December 16, 2003

Examiner

Not Yet Assigned

Group Art Unit 2877

Title

Active Optical Alignment Using MEMS Mirrors

COMMISSIONER FOR PATENTS

P.O. Box 1450

Alexandria, VA 22313-1450

SIR:

SUBMISSION OF MISSING PARTS OF APPLICATION UNDER 37 C.F.R. 1.53(b)

This is in response to a NOTICE OF MISSING PARTS OF APPLICATION dated April 5, 2004. Enclosed are the following items for filing in the above-referenced application:

- 1. Declaration and Power of Attorney, executed on October 13, 2004.
- 2. Assignment Recordation Cover Sheet
- 3. Assignment and Agreement, executed on October 13, 2004.
- 4. Response copy of NOTICE OF MISSING PARTS OF APPLICATION.

Having now complied with all of the requirements of 37 CFR 1.53, applicants respectfully request that this application be placed upon the files for examination.

Respectfully submitted,

Timothy Paul Bock John William Osenbach Rory Keene Schlenker

Wendy W. Koba /
Attorney for applicants

Reg. No. 30509 610-346-7112

Date: 10/8/2004



EXPRESS MAIL CERTIFICATE OF MAILING

Patent Application for:

| Applicants: Timothy Paul Bock et al. |
|---|
| Atty. No: 4-43-7 |
| Title: Active Optical Alignment Using MEMS Mirrors |
| I hereby certify that this correspondence is being deposited with the United States |
| Postal Service with sufficient postage as EXPRESS MAIL in an envelope addressed |
| to: |
| Mail Stop Missing Parts |
| Commissioner for Patents |
| |
| P.O. Box 1450 |
| Alexandria, VA 22313-1450 |
| on <u>Oct. 18, 2004</u> |
| EXPRESS MAIL TRACKING NO. 933735959 U.S. |
| Type or Print name of person signing this certificate: Wendy W. Koba, Esq. |
| Signature: Wendy W. Kolo |

PTO/SB/21 (09-04)

Approved for use through 07/31/2006. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE e Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

Application Number

| OIRE | Application Number | 10/736,935 |
|---|---|--|
| TRANSMITTAL | Filing Date | December 16, 2003 |
| 町 1 8 2004 智 FORM | First Named Inventor | Bock |
| | Art Unit | 2877 |
| MANDAM used for all correspondence after initial filing) | Examiner Name | Not yet assigned |
| Total Number of Pages in This Submission | Attorney Docket Number | 4-43-7 |
| FI | NCLOSURES (Check all 1 | that anniv) |
| Fee Transmittal Form | Drawing(s) | After Allowance Communication to TC |
| Fee Attached | Licensing-related Papers | Appeal Communication to Board of Appeals and Interferences |
| Amendment/Reply | Petition | Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) |
| After Final | Petition to Convert to a Provisional Application | Proprietary Information |
| Affidavits/declaration(s) | Power of Attorney, Revocation Change of Correspondence A | |
| | Terminal Disclaimer | Other Enclosure(s) (please Identify |
| Extension of Time Request | 1 | 1. Return receipt postcard |
| Express Abandonment Request | Request for Refund | |
| Information Disclosure Statement | CD, Number of CD(s) | |
| | Landscape Table on CD | mailing |
| Certified Copy of Priority Document(s) | marks | |
| Reply to Missing Parts/ | | |
| Incomplete Application Reply to Missing Parts | | |
| under 37 CFR 1.52 or 1.53 | | |
| | | |
| | E OF APPLICANT, ATTOR | RNEY, OR AGENT |
| Wendy W. Kob | a, Esa. | |
| Signature | 4, 500. | |
| Printed name | -7) oua | |
| Wendy W. Kob | | |
| 10/18/a004 | R | eg. No. 30509 |
| | | |
| CERTI | FICATE OF TRANSMISSIO | ON/MAILING |
| I hereby certify that this correspondence is being fa sufficient postage as first class mail in an envelope the date shown below: | csimile transmitted to the USPTO addressed to: Commissioner for | or deposited with the United States Postal Service with Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on |
| Signature . Wondy | W.Kola | |
| Typed or printed name Wendy W. | Koba | Date 10/18/2004 |
| This collection of information is required by 37 CFR 1.5. T | he information is required to obtain or | retain a benefit by the public which is to file (and by the USPTO to |

process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

PTO/SB/17 (10-04)
Approved for use through 07/31/2006. OMB 0551-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
o a collection of information unless it displays a valid OMB he Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

| FEE | TR | AN | SM | IT | TAL |
|-----|-----|----|-----|------------|-----|
| | for | FY | 200 |) 5 | |

Effective 10/01/2004. Patent fees are subject to annual revision.

Applicant claims small entity status. See 37 CFR 1.27

(\$) 2120.00

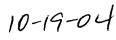
| Complete if Known | | | |
|----------------------|----------------------------------|--|--|
| Application Number | 101736, 935 | | |
| Filing Date | 10/736, 935 December 14, 2003 | | |
| First Named Inventor | Bock | | |
| Examiner Name | Not yet assigned | | |
| Art Unit | 2877 | | |
| Attornoy Docket No | 4.43.0 | | |

| METHOD OF PAYMENT (check all that apply) | FEE CALCULATION (continued) | | | |
|---|-----------------------------|--|--|--|
| Check Credit card Money Other None | 3. ADDITIONAL FEES | | | |
| Order Order | Large Entity | Small Entity | | |
| Deposit Account: | Fee Fee | Fee Fee Fee Description | | |
| Deposit Account 50-1735 | Code (\$) | Code (\$) 2051 65 Surcharge - late filing fee or oath | | |
| Number Deposit | 1051 130 | 2051 65 Surcharge - late filing fee or oath 2052 25 Surcharge - late provisional filing fee or | | |
| Account Hacre Justems Inc. | 1052 50 | cover sheet | | |
| Name The Director is authorized to: (check all that apply) | 1053 130 | 1053 130 Non-English specification | | |
| Charge fee(s) indicated below Credit any overpayments | 1812 2,520 | | | |
| Charge any additional fee(s) or any underpayment of fee(s) | 1804 920 | * 1804 920* Requesting publication of SIR prior to Examiner action | | |
| Charge fee(s) indicated below, except for the filing fee | 1805 1,840 | 1 | | |
| to the above-identified deposit account. | <u>'</u> | Examiner action | | |
| FEE CALCULATION | 1251 110 | | | |
| 1. BASIC FILING FEE | 1252 430 | | | |
| Large Entity Small Entity Fee Fee Fee Fee Fee Description Fee Paid | 1253 980 | 1 | | |
| Fee Fee Fee Fee Fee Paid Code (\$) Code (\$) | 1254 1,530 | 2000 | | |
| 1001 790 2001 395 Utility filing fee | 1255 2,080 | 2255 1,040 Extension for reply within fifth month | | |
| 1002 350 2002 175 Design filing fee | 1401 340 | 2401 170 Notice of Appeal | | |
| 1003 550 2003 275 Plant filing fee | 1402 340 | | | |
| 1004 790 2004 395 Reissue filing fee | 1403 300 | 2403 150 Request for oral hearing | | |
| 1005 160 2005 80 Provisional filing fee | 1451 1,510 | 1451 1,510 Petition to institute a public use proceeding | | |
| SUBTOTAL (1) (\$) | 1452 110 | 2452 55 Petition to revive - unavoidable | | |
| 1453 1,330 2453 665 Petition to revive - unintentional | | | | |
| 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE | 1501 1,370 | 2501 685 Utility issue fee (or reissue) | | |
| Extra Claims below Fee Paid | 1502 490 | | | |
| Total Claims 20** = X = | 1503 660 | " | | |
| Claims X - 3** = X - 3** = X Multiple Dependent | 1460 130 | 1460 130 Petitions to the Commissioner | | |
| | 1807 50 | 1807 50 Processing fee under 37 CFR 1.17(q) | | |
| Large Entity Small Entity Fee Fee Fee Fee Fee Description | 1806 180 | | | |
| Code (\$) Code (\$) | 8021 (40 | 8021 40 Recording each patent assignment per property (times number of properties) | | |
| 1202 18 2202 9 Claims in excess of 20 1201 88 2201 44 Independent claims in excess of 3 | 1809 790 | | | |
| 1203 300 2203 150 Multiple dependent claim, if not paid | 1810 790 | 2810 395 For each additional invention to be | | |
| 1204 88 2204 44 ** Reissue independent claims over original patent | 1801 790 | examined (37 CFR 1.129(b)) 2801 395 Request for Continued Examination (RCE) | | |
| 1205 18 2205 9 ** Reissue claims in excess of 20 and over original patent | 1802 900 | The state of the | | |
| | Other fee (s | • | | |
| SUBTOTAL (2) (\$) O | | y Basic Filing Fee Paid SUBTOTAL (3) (\$) 2120.00 | | |

| SUBMITTED BY | | (Complete (if applicable)) | | |
|-------------------|---------------|---|---------------|-----------|
| Name (Print/Type) | Wendy W. Koba | Registration No. (Attorney/Agent) 30509 | Telephone 610 | -346-7112 |
| Signature | Windy W. Lova | | Date 4 | 11812004 |

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.



Page 1 of 2

tates Patent and Trademark Office

UNITED STATES DEPARTMENT OF COMMERCE United States Patent and Trademark Office Address COMMISSIONER FOR PATENTS P.C. Dox 1450 Alexandria, Vigania 22313-1450 www.usplo.gov

APPLICATION NUMBER

FILING OR 371 (c) DATE

FIRST NAMED APPLICANT

ATTORNEY DOCKET NUMBER

10/736,935

12/16/2003

Timothy Paul Bock

4-43-7

Wendy W. Koba PO Box 556 Springtown, PA 18081

CONFIRMATION NO. 5534 FORMALITIES LETTER *OC00000013073106*

Date Mailed: 06/25/2004

NOTICE OF INCOMPLETE REPLY (NONPROVISIONAL)

Filing Date Granted

The U.S. Patent and Trademark Office has received your reply on 06/07/2004 to the Notice to File Missing Parts (Notice) mailed 04/05/2004 and it has been entered into the nonprovisional application. The reply, however, does not include the following items required in the Notice.

The period of reply remains as set forth in the Notice. You may, however, obtain EXTENSIONS OF TIME under the provisions of 37 CFR 1.136 (a) accompanied by the appropriate fee (37 CFR 1.17(a)).

A complete reply must be timely filed to prevent ABANDONMENT of the above-identified application. Replies should be mailed to: Mail Stop Missing Parts, Commissioner for Patents, P.O. Box 1450, Alexandria VA 22313-1450.

- The signature of the following inventor(s) is missing from the oath or declaration: John W. Osenbach
- The oath or declaration does not identify each inventor by full name, including the family name and at least one given name without abbreviation.

Items Required To Avoid Processing Delays:

The item(s) indicated below are also required and should be submitted with any reply to this notice to avoid further processing delays.

- · A new oath or declaration, identifying this application number is required. The oath or declaration does not comply with 37 CFR 1.63 in that it:
- does not identify the residence (e.g., city and either state or foreign country) of each inventor.
- does not identify the citizenship of each inventor.

Replies should be mailed to:

Mail Stop Missing Parts

Commissioner for Patents

P.O. Box 1450

Alexandria VA 22313-1450

A copy of this notice <u>MUST</u> be returned with the reply.

Customer Service Center

Initial Patent Examination Division (703) 308-1202
PART 1 - ATTORNEY/APPLICANT COPY